

FDDU Procedures for Processing and Management of Submission Information

1 Scope

These procedures apply to DNA personnel who process the Request for National DNA Database Entry (FD-936) form data included in each Federal DNA Database Unit (FDDU) collection kit and manage sample submission and status information.

2 Equipment/Materials/Reagents

- National Crime Information Center (NCIC), Joint Automated Booking System (JABS), and/or Sentry System (Bureau of Prisons [BOP]), Read-Only Access
- Document Scanner (Kodak i2900 Scanner or equivalent)
- Laserfiche Software (Version 10.4 or above)
- Laserfiche Quick Fields Software (Version 10.3 or above)
- OCR/ICR Software (TurboScan NG or equivalent)
- STACS (Sample Tracking and Control System) Software (STACS DNA Inc.), version 6.4 or above

3 Procedures

3.1 Processing of FD-936

3.1.1 Processing FD-936 Forms with TurboScan OCR/ICR Software

3.1.1.1 Retrieve forms to be processed. Data entered on an FD-936 is captured and prepared for import using the Laserfiche and/or TurboScan NG Document Capture System. Saved image(s) may be defined as a batch once scanned.

- a. If necessary, utilize the Enhancement module in the TurboScan NG software to fix any imperfections in the images. This step may be automated by the software.
- b. If necessary, utilize the AutoIndex module in the TurboScan NG software to manually process the data. This step may be automated by the software.

3.1.1.2 Use the Turboscan Verification module to verify and edit the fields that were recognized by the TurboScan NG software, as needed. Upon completion of the verification of the batch, save.

3.1.1.3 Use the Turboscan Export module to export the data and images obtained from TurboScan NG. This step may be automated by the software.

3.1.1.4 Using STACS, select appropriate batch for the *Default TurboScan Directory* and *Default File Images Directory* and import the data.

3.1.1.5 Review the data for each submission.

3.1.1.5.1 Make any necessary modifications in STACS or the TurboScan export file.

- If edits are made in STACS, re-validate the data and ensure appropriate corrections have been made.
- If edits are made to the file, save the edited file and close Import window in STACS. Re-import the TurboScan file and ensure appropriate corrections have been made.

3.1.1.5.2 Save the file in STACS.

3.1.1.6 If the submission is valid and contains no errors, the samples will proceed to the laboratory to be processed.

3.1.1.6.1 If the submission is identified as any of the following, additional attention is required. Refer to the appropriate section of this document to manage the submission.

- Missing Information
- Pending Duplicate
- Be On the Look Out (BOLO)
- Pending Reject

3.1.2 Processing FD-936 Forms with Quick Fields and Laserfiche Software

3.1.2.1 Retrieve forms to be processed. Data entered on an FD-936 is captured and prepared for import using the Quick Fields and Laserfiche software.

3.1.2.2 Use the Quick Fields software to review the processing summary of the scanned forms and review/edit the fields flagged by the software.

3.1.2.3 Use the Laserfiche software to export the data and images obtained from Quick Fields. This step may be automated by the software.

3.1.2.4 Using STACS, select appropriate number of submissions and import the data.

3.1.2.5 Review the data for each submission.

3.1.2.5.1 Make any necessary modifications in STACS or Laserfiche.

- If edits are made in STACS, re-validate the data and ensure appropriate corrections have been made.

- b. If edits are made in Laserfiche, save the edited data and close Import window in STACS. Re-export the Laserfiche data for the submission, re-import into STACS and ensure appropriate corrections have been made.

3.1.2.5.2 Save the data in STACS.

3.1.2.6 If the submission is valid and contains no errors, the samples will proceed to the laboratory to be processed.

3.1.2.6.1 If the submission is identified as any of the following, additional attention is required. Refer to the appropriate section of this document to manage the submission.

- Missing Information
- Pending Duplicate
- Be On the Look Out (BOLO)
- Pending Reject

3.2 Submission and Status Information

Once the submissions have been imported into STACS, the image becomes available to view and changes may be made to the data fields for a submission, as necessary. STACS records and tracks all changes.

3.3 Missing or Invalid Information Submissions

3.3.1 STACS identifies a submission as having missing or invalid information based on criteria defined within the software. Some fields may be flagged by STACS if the submission contains missing or invalid information (e.g., Submitting Agency, Contributor type, Subject name, Date of Birth, Identification Number).

3.3.1.1 Missing information submissions are managed or resolved using any of the three available actions:

- a. Issue a request to the submitting agency for the missing information
- b. Enter the missing information
- c. Override the Missing Information status of the submission

3.4 Pending Duplicate Submissions

3.4.1 STACS identifies a submission as a pending duplicate based on criteria defined within the software. Fields such as FBI Number, SSN, Alien Number, BOP Number, FINS Number, and DOB may be used to determine whether a new submission is a potential duplicate.

3.4.1.1 Review the matching fields to determine if the pending duplicate is an actual duplicate. If there are multiple pending matches, the status (e.g., CODIS Confirmed, Pending Reject, Expunged, STR Complete, In Process) should be used as a ranking factor when determining which submission should be selected to confirm a duplicate.

3.4.1.2 If additional information is required to resolve the status of the pending duplicate, contact the submitting agency or query an agency specific system (e.g., Sentry, JABS, NCIC) as appropriate.

3.4.1.3 A pending duplicate may be resolved by marking it as an original submission or as a confirmed duplicate to an existing submission. DNA analysis is conducted on all original submissions and may be conducted on confirmed duplicates based on the status of the matching submission.

3.5 Pending Reject Submissions

3.5.1 A pending reject may be identified in STACS if:

- The kit was determined to be unacceptable at sample check in
- The submission was rejected from the Submission Import work list
- A sample retake request was approved
- A missing specimen alert was generated and approved to request another submission

3.5.1.1 Pending rejects may be managed or resolved using any of the three available actions:

- a. Issue a request to the submitting agency for a new sample
- b. Reject the submission
- c. Activate the submission

3.5.1.2 The status of a pending reject submission may be changed for a subset of samples based on rejection reason or for an individual submission.

3.6 BOLO Submissions

3.6.1 If necessary, STACS can create an alert with special instructions for a Be On the Look Out (BOLO) submission.

3.6.1.1 A BOLO may be created by entering the available subject information (e.g., Last Name, First Name, DOB, FBI Number, SSN, Alien Number, BOP Number, FINS Number) as well as marking submission(s) with the appropriate instructions (e.g., Do Not Process, High Priority Sample, Normal Priority Sample).

3.6.1.2 STACS searches the database to determine whether a BOLO entry is a potential match to an existing submission or a new submission. If a match is found, the BOLO entry can be changed to a received status in the software and the submission may then proceed to the appropriate module.

3.7 Expedite and Sample Status Requests

3.7.1 Expedite requests and/or sample status requests may be completed upon receipt of appropriate documentation from the requesting agency. STACS allows the user to record and respond to these types of information requests. A response letter may be generated, as needed.

3.7.1.1 If expedite request(s) are received, the sample(s) and/or plate may be marked as high priority. A reason must be entered in the comments field when setting the sample(s) or plate as high priority.

4 Standards and Controls

Not applicable.

5 Sampling

Not applicable.

6 Calculations

Not applicable.

7 Measurement Uncertainty

Not applicable.

8 Limitations

Not applicable.

9 Safety

Not applicable.

10 References

DNA Procedures Manual.

FBI Laboratory Quality Assurance Manual.

STACS DNA Inc. *Sample Tracking and Control System (STACS) User's Guide.*

Symbol Technologies Inc. *Symbol Barcode Reader User's Guide.*

Lason Inc. *TurboScan NG User's Guide.*

Rev. #	Issue Date	History
4	06/26/2014	Updated materials in section 3. Deleted cleaning procedures of Turboscan scanner in section 7.2. Revised scanning procedure in section 7.4.1.1. Deleted categories qualifying as Missing Information from Section 7.4.4. Deleted need to include date in comments for entering missing information in section 7.4.6.4. Updated individual to review override of missing information status in sections 7.4.7, 7.4.12, and 7.4.13. Added section 7.4.8.11 and renumbered remainder of section. Updated procedure for Same Status forms in sections 7.4.14.1 and 7.4.14.2. Revised citation of all outside protocol references throughout entire document. Deleted references to FCO Program throughout entire document. Deleted Appendices A-C and all associated references throughout entire document, and renamed remainder of Appendices. Updated references.
5	03/11/2016	Revised entirety of document for clarity and simplification and to remove software interface interactions.
6	01/15/2020	1: Updated the scope to apply to DNA personnel. 2: Updated to STACS 6.4 and changed acronym from STaCS to STACS throughout. 3.1: Updated Processing of FD-936 section to reflect addition of Laserfiche to the TurboScan workflow and the use of Quick Fields and Laserfiche software to scan and process the JABS version of the FD-936 form. 3.4 & 3.5: Deleted potential from section titles and text to reflect STACS module titles. 3.4.1.1: Added Expunged.

Approval

Redacted - Signatures on File

FDDU Chief

Date: 01/14/2020

DNA Technical Leader

Date: 01/14/2020